

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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| In re the Application of: |) | Customer No.: 49,637 |
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| Daniel John GARDNER, et al. |) | Confirmation No.: 1225 |
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| Serial No.: 10/759,623 |) | Group Art Unit: 2169 |
| |) | |
| Filed: January 16, 2004 |) | Examiner: Betit, Jacob F. |
| |) | |
| For: SYSTEM AND METHOD FOR A |) | Docket No.: RDC-102.ORD5 |
| DATA EXTRACTION AND |) | |
| BACKUP DATABASE |) | |

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT UNDER
37 CFR § 1.97(c)**

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

In compliance with the continuing duty of disclosure under 37 CFR § 1.56, 37 CFR §§ 1.97, and 1.98, Applicants bring the following documents to the attention of the Examiner, which may be of possible interest to the subject matter of this application. Each of these documents is also listed on the attached form PTO-1449 and is a published patent, pending application, or non-patent literature. Applicants are only providing copies of the non-patent literature. In the event the Examiner would like copies of the published patents and pending applications, the Examiner is requested to kindly advise the undersigned. Applicants respectfully request the Examiner to consider and make these documents of record with respect to this application. Applicants have grouped the documents according to areas of technology, and have specifically indicated the documents that disclose de-duplication and data extraction techniques.

The following U.S. Patents and Patent Publications are of record in a related application on de-duplication technology:

- * 1. U.S. Patent Application Publication No. 2002/0147733 A1 – (Gold et al.; Filing Date: 4/6/01; Publication Date: 10/10/02)
- * 2. U.S. Patent Application Publication No. 2003/0135464 A1 – (Mourad et al.; Filing Date: 1/20/00; Publication Date: 7/17/03)
- * 3. U.S. Patent Application Publication No. 2003/0110130 A1 – (Pelletier; Filing Date: 7/20/01; Publication Date: 6/12/03)
- * 4. U.S. Patent Application Publication No. 2002/0107803 A1 – (Lisanke et al.; Filing Date: 8/23/01; Publication Date: 8/8/02)
- * 5. U.S. Patent Application Publication No. 2003/0105718 A1 – (Hurtado et al.; Filing Date: 8/17/99; Publication Date: 6/5/03)
- * 6. U.S. Patent Application Publication No. 2002/0019814 A1 – (Ganesan; Filing Date: 3/1/01; Publication Date: 2/14/02)
- * 7. U.S. Patent Application Publication No. 2002/0002468 A1 – (Spagna et al.; Filing Date: 6/19/01; Publication Date: 1/3/02)
- * 8. U.S. Patent No. 6,389,403 – (Dorak; Filing Date: 9/17/99; Issue Date: 5/14/02)
- * 9. U.S. Patent No. 6,745,197 – (McDonald; Filing Date: 3/19/01; Issue Date: 6/1/04)
- * 10. U.S. Patent No. 6,834,110 – (Marconcini et al.; Filing Date: 12/10/99; Issue Date: 12/21/04)
- * 11. U.S. Patent No. 6,996,580 – (Bae et al.; Filing Date: 6/22/01; Issue Date: 2/7/06)
- * 12. U.S. Patent No. 7,137,065 – (Huang et al.; Filing Date: 2/24/00; Issue Date: 11/14/06)
- * 13. U.S. Patent No. 7,269,564 – (Milsted et al.; Filing Date: 11/30/98; Issue Date: 9/11/07)

The following U.S. Patents and Patent Publications are of record in a related application on data extraction technology:

- * 14. U.S. Patent Application Publication No. 2007/0245108 A1 – (Yasaki et al.; Publication Date: 10/07)
- * 15. U.S. Patent Application Publication No. 2003/0233455 A1 – (Leber et al.; Publication Date: 12/03)
- * 16. U.S. Patent Application Publication No. 2003/0182304 A1 – (Summerlin et al.; Publication Date: 09/03)
- * 17. U.S. Patent Application Publication No. 2002/0178176 A1 – (Sekiguchi et al.; Publication 11/02)
- * 18. U.S. Patent Application Publication No. 2005/0160481 A1 – (Todd et al.; Publication Date: 07/05)
- * 19. U.S. Patent Application Publication No. 2002/0147733 A1 –(Gold et al.; Publication 10/02)
- * 20. U.S. Patent Application Publication No. 2004/0143609 A1 – (Gardner et al.; Publication: 07/04)
- * 21. U.S. Patent Application Publication No. 2003/0126247 A1 – (Strasser et al.; Publication 07/03)
- * 22. U.S. Patent Application Publication No. 2004/0068604 A1 (Le et al.; Publication Date: 04/04)
- * 23. U.S. Patent No. 5,535,381 – (Kopper; Issue Date: 07/96)
- * 24. U.S. Patent No. 5,689,699 – (Howell et al; Issue Date: 11/97)
- * 25. U.S. Patent No. 6,915,435 – (Merriam; Issue Date: 07/05)
- * 26. U.S. Patent No. 6,996,580 – (Bae et al.; Issue Date: 02/06)
- * 27. U.S. Patent No. 7,047,386 – (Ngai et al.; Issue Date: 05/06)
- * 28. U.S. Patent No. 7,146,388 – (Stakutis et al.; Issue Date: 12/06)
- * 29. U.S. Patent No. 7,325,041 – (Hara et al.; Issue Date: 01/08)
- * 30. U.S. Patent No. 7,533,291 – (Lin; Issue Date: 05/09)
- * 31. U.S. Patent No. 7,650,341 – (Oratovsky et al.; Issue Date: 01/10)

The following U.S. Patents and Patent Publications are of interest to searching techniques:

- 32. U.S. Patent No. 5,717,913 - (Driscoll; Filing Date: 1/3/95; Issue Date: 2/10/98)
(PCT International Search Report, PCT/US07/13483 (RDC DM-101PCT))

33. U.S. Patent Application Publication No. 2005/0144157 A1 - (Moody et al.; Filing Date: 12/29/03; Issue Date: 6/30/05)
(PCT International Search Report, PCT/US07/13483 (RDC DM-101PCT))
34. U.S. Patent Application Publication No. 2007/0233692 A1 - (Lisa et al.; Filing Date: 4/3/06; Published Date: 10/4/07)
(PCT International Search Report, PCT/US2009/032990 (RDC DM-101C1 PCT))
35. U.S. Patent No. 5,982,370 (Kamper; Filing Date: 7/18/97; Issue Date: 11/9/99)
(PCT International Search Report, PCT/US2009/032990 (RDC DM-101C1 PCT))
36. Meng, W., et al., "Building Efficient and Effective Metasearch Engines," ACM Computing Surveys, ACM, New York, NY, US, US, vol. 34, no. 1, 1 March 2002 (2002-03-01), pages 48-89
(PCT International Search Report, PCT/US2009/032990 (RDC DM-101C1 PCT))
37. U.S. Patent Application Publication No. 2007/0253643 (pertinent reference)
(Nagarajan; Filing Date: 6/26/06; Published Date: 11/1/07):
38. U.S. Patent Application Publication No. 2008/0005651
(Grefenstette et al.; Filing Date: 9/10/07; Published Date: 1/3/08):
39. U.S. Patent No. 5,926,811
(Miller et al.; Filing Date: 3/15/96; Issue Date: 7/20/99):
40. U.S. Patent Application Publication No. 2009/0024612
(Tang et al.; Filing Date: 2/11/08; Published Date: 1/22/09):
41. U.S. Patent No. 6,810,395
(Bharat; Filing Date: 11/22/99; Published Date: 10/26/04):
42. U.S. Patent No. 6,778,979
(Grefenstette et al.; Filing Date: 12/5/01; Published Date: 4/10/03; Issue Date: 8/17/04):
43. U.S. Patent Application Publication No. 2008/0097975
(Guay et al.; Filing Date: 5/21/07; Published Date: 4/24/08):

The following is non-patent literature of interest to searching techniques:

44. Cai et al., "Automatic Query Expansion Based on Directed Divergence", Proceedings of the International Conference on Information Technology: Coding and Computing, Page: 8, 2002, ISBN:0-7695-1506-1
45. Xu et al., "Query expansion using local and global document analysis," in Proc. of ACM-SIGIR 1996, Zurich, Switzerland, 18-22 August 1996, pp. 4-11.
46. Attar et al., "Local Feedback in Full-Text Retrieval Systems", Journal of the ACM (JACM), Volume 24, Issue 3 (July 1977), Pages: 397 - 417, ISSN:0004-5411
47. E. M. Vorhees, "Query expansion using lexical-semantic relations", Annual ACM Conference on Research and Development in Information Retrieval, Proceedings of

the 17th annual international ACM SIGIR conference on Research and development in information retrieval, 1994, Dublin, Ireland, August 1994, pp. 61–69, ISBN:0-387-19889-X.

48. Gauch et al., "A Corpus Analysis Approach for Automatic Query Expansion and Its Extension to Multiple Databases",
49. Conlon, S., "Automatic Web Searching and Categorizing Using Query Expansion and Focusing", (Mississippi Univ., University.), 6p, Jan 2003
50. Mitra et al., "Improving Automatic Query Expansion", Annual ACM Conference on Research and Development in Information Retrieval, Proceedings of the 21st annual international ACM SIGIR conference on Research and development in information retrieval, Melbourne, Australia, Pages: 206 - 214, Year of Publication: 1998, ISBN:1-58113-015-5
51. Volkmer et al., "EXPLORING AUTOMATIC QUERY REFINEMENT FOR TEXT-BASED VIDEO RETRIEVAL", IEEE International Conference on Multimedia and Expo, 9-12 July 2006, page(s): 765-768, Toronto, Ont., ISBN: 1-4244-0366-7
52. <http://www.lexisnexis.com/toolbar/help/using.htm#HighlightAndClick> <retrieved on July 08, 2009>
53. <http://www.googleguide.com/tools.html> <retrieved on July 08, 2009>

The following non-patent literature documents are directed to use of Poisson distribution in document retrieval.

54. Crestani, F. et al.; "Is This Document Relevant?... Probably": A Survey of Probabilistic Models in Information Retrieval"; ACM Computing Surveys Vol. 30, No. 4, Dec. 1998.
55. Amati, G. et al.; "Probabilistic Models of Information Retrieval Based on Measuring the Divergence from Randomness"; ACM Transactions on Information Systems, vol. 20, no. 4. Oct. 2002.
56. Robertson, S. et al.; "Some Simple Effective Approximations to the 2-Poisson Model for Probabilistic Weighted Retrieval"; Centre for Interactive Systems Research, London.
57. Yan, T. et al.; "The SIFT Information Dissemination System"; ACM Transactions on Database Systems, Vol. 24, No. 4, Dec. 1999.
58. Cohen, E. et al.; "Processing Top k Queries from Samples"; ACM.
59. Gehler, P. et al.; "The Rate Adapting Poisson Model for Information Retrieval and Object Recognition"; Proceedings of the 23rd International Conference on Machine Learning, 2006.
60. Tao, Y. et al.; "Indexing Multi-Dimensional Uncertain Data with Arbitrary Probability Density Functions"; Proceedings of the 31st VLDB Conference, Norway 2005.
61. Ilyas, I. et al.; "Adaptive Rank-Aware Query Optimization in Relational Databases";

ACM Transactions on Database Systems; Vol. 31. No. 4, Dec. 2006.

62. Margulis, E.; "Modelling Documents with Multiple Poisson Distributions"; Information Processing & Management Vol. 29, No. 2, 1993.
63. Mei, Q. et al.; "A Study of Poisson Query Generation Model for Information Retrieval"; SIGIR '07 Proceedings, Session 12: Formal Models.
64. Ozmutlu, H. et al.; "Analysis of large data logs: an application of Poisson sampling on excite web queries"; Information Processing and Management, Vol. 38, 2002.
65. Zakariah, R. et al.; "Detecting Junk Mails by Implementing Statistical Theory"; IEEE Proceedings of the 20th International Conference on Advanced Information Networking and Applications, 2006.
66. Roelleke, T.; "A Frequency-based and a Poisson-based Definition of the Probability of Being Informative"; SIGIR '03.
67. Luk, R. et al.; "A Comparison of Chinese Document Indexing Strategies and Retrieval Models"; ACM Transactions on Asian Language Information Processing, Vol. 1, No. 3, Sept. 2002.
68. Margulis, E.; "N-Poisson Document Modelling"; SIGIR '92.

The following patents are of general background interest:

69. U.S. Patent Application Publication No. 20080059512
(Roitblat et al.; filed: 8/31/07; published: 3/6/08)
70. U.S. Patent Application Publication No. 20080059187
(Roitblat et al.; filed: 8/30/07; published: 3/6/08)
71. U.S. Patent No. 6,189,002
(Roitblat; filed: 12/8/99; issued: 2/13/01)
72. U.S. Patent No. 6,751,628
(Coady; filed: 1/11/02; published: 7/11/02; issued: 6/15/04)

The following patents are of interest to "searching" and "tagging" techniques:

73. U.S. Patent No. 5,350,303
74. U.S. Patent No. 7,260,568
75. U.S. Patent No. 6,199,081
76. U.S. Patent No. 6,182,029

This Supplemental Information Disclosure Statement is timely submitted under 37 CFR §1.97(c) and 1.98, that is, after an action on the merits but before receipt of a

final action under § 1.113 or receipt of a notice of allowance under § 1.311. Please charge our **Deposit Account No. 50-3102** in the amount of \$180.00 to cover the fee pursuant to 37 CFR § 1.17(p). The Examiner is also authorized to charge any additional fee required by this paper to **Deposit Account No. 50-3102**.

Respectfully submitted,

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